•	Decomposition of Sub-Process: 1. Receive electronic 799 inputs from lenders Core Business Process: FFEL Lender and FFEL Lender and Guaranty Agency Payments Process								
Scenario Section			1	iness Pr Section	iority	Possible Options			
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	isiness Pri Risk Rating	ority Priority Rating	Risk Mitigation Options	High-Level Contingency Options	
Telecom- munication	ED is unable to receive electronic reports from lenders	ED cannot process payments for lenders	1/3/2000	High	Low	Med	To mitigate the risk that ED cannot process payments to lenders ED would establish earlier cut-off dates (December 1, 1999) to permit 9/30/1999 quarter processing and adjustments to be finalized. ED would also create payment history back-ups and, would postpone adjustment processing in the first quarter of 2000.	In the event of a failure ED would require lenders to submit paper 799 reports for ED to review.	

•	Decomposition of Sub-Process: 2. Retrieve 799 information from GEIS Core Business Process: FFEL Lender and Guaranty Agency Payments Process									
Scenario Section			Bus	iness Pri Section	•	Possible Options				
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bus Impact Rating	iness Pric Risk Rating	Priority	Risk Mitigation Options	High-Level Contingency Options		
GEIS	ED is unable to retrieve 799 information from GEIS	ED cannot process payments for lenders using electronic information submitted via the GEIS	1/3/2000	High	Low	Med	To mitigate the risk that ED cannot process payments to lenders ED would establish earlier cut-off dates (December 1, 1999) to permit 9/30/1999 quarter processing and adjustments to be finalized. ED would also create payment history back-ups and, would postpone adjustment processing in the first quarter of 2000.	In the event of a failure ED would require lenders to submit paper 799 reports for ED to review.		

Decomp	Decomposition of Sub-Process: 3. Receive paper 799 inputs from lenders								
Core B	usiness Process:	FFEL Lender and	d Guarant	y Agency	Paymen	ts Process			
Scenario Section				Bus	iness Pr	iority	Possible (Options	
					Section	1			
Failure	Threat/Failure Scenario	Impact/End Result	Earliest	Βι	isiness Pri	ority	Risk Mitigation Options	High-Level Contingency Options	
Source			Failure	Impact	Risk	Priority			
			Date	Rating	Rating	Rating			
Lender	ED is unable to receive	ED would not be able to	1/3/2000	High	Undete	High	To mitigate the risk that ED	None	
systems	paper inputs from	process information and			rmined		cannot process payments to		
	lenders	make payments to lenders					lenders ED would establish earlier		
							cut-off dates (December 1, 1999)		
							to permit 9/30/1999 quarter		
							processing and adjustments to be		
							finalized.		
							ED would also create payment		
							history back-ups and, would		
							postpone adjustment processing in		
İ							the first quarter of 2000.		
							•		

Decomposi	tion of Sub-Process:	Return reports t	o lenders, ystem, 10.	in FFELP system, 5. Edit 799 Information, 6. Create and Send Letter to Lenders, 7. 8. Post information to History Database system, 9. Create payment information for Create accounting information for FIS and MIDAS, 11. Create Accounting information				
Core Busin	ness Process:	FFEL Lender an	d Guarant	y Agency Payments Process				
	Scenar	rio Section		Business Priority	Possible Options			
				Section				
Failure	Threat/Failure	Impact/End Result	Earliest	Business Priority	Risk Mitigation Options	High-Level Contingency		
Source	Scenario		Failure	Impact Risk Priority		Options		
			Date	Rating Rating Rating				

			1			1				T
FFELP	•	ED would be	A failure would impact ED's	1/3/2000	High	Low	Med	•	To mitigate the risk of	In the event of failure ED would
Core		unable to create	ability to make payments to						failure, ED would establish	process 799 payments manually
Processing		799	lenders.						earlier cut-off dates	and would pay only those lenders
System		information in							(December 1, 1999) to allow	that submitted forms to ED
		FFELP system							9/30/1999 quarter processing	
	•	ED cannot edit							and adjustments to be	Alternatively, ED would pay
		799							finalized.	lenders based on historical
		information								payment information subject to
	•	ED cannot						•	In addition, ED would create	the following conditions:
		create and send							payment history back-ups and	Only lenders who have
		a letter to							would postpone adjustment	submitted forms will be paid
		lenders							processing in first quarter	The U.S. Treasury would
	•	ED cannot							2000.	authorize such a payment.
		return reports								That penalty interest may
		to lenders								be paid.
	•	ED cannot post								Those lenders would be
		information to								required to reconcile when
		History								failures are resolved.
		Database system								
	•	ED cannot								
		create payment								
		information for								
		warehouse								
		subsystem								
	•	ED cannot								
		create								
		accounting								
		information for								
		FIS and MIDAS								
	•	ED cannot								
		create								
		Accounting								
		information for								
		Subtrans								
		Subsystem								
		2235,500111								
	1					l				l

799's - 30 days from receipt from lenders

Decomposition of Sub-Process:	12. Receive/process payment data from FFEL system, 13. Create/send 712, 713 and 715 reports, 14. Create and send
	1166 reports, 15. Create ACH payment, 16. Create Check Payment.

FFEL Lender and Guaranty Agency Payments Process

Core Bus	Core Business Process:											
	Scenario Section					ority	Possible Options					
Failure Source Warehouse	Threat/Failure Scenario ED cannot receive or	Impact/End Result ED would not be able to	Earliest Failure Date 1/3/2000	Impact Rating	Risk Rating	Priority		sk Mitigation Options	High-Level Contingency Options In the event of failure ED would			
subsystem	process payment data from FFEL system ED cannot create or send 712, 713 and 715 reports ED cannot create and send 1166 reports ED cannot create ACH payment 1666 reports ED cannot create check payment	make payments to lenders	1/3/2000	High	Low	Med	fai ea (C 9/ an fir In pa wo pr	o mitigate the risk of ilure, ED would establish urlier cut-off dates December 1, 1999) to allow (30/1999 quarter processing and adjustments to be nalized. In addition, ED would create ayment history back-ups and ould postpone adjustment processing in first quarter 2000.	process 799 payments manually and would pay only those lenders that submitted forms to ED Alternatively, ED would pay lenders based on historical payment information subject to the following conditions: Only lenders who have submitted forms will be paid The U.S. Treasury would authorize such a payment. That penalty interest may be paid. Those lenders would be required to reconcile when failures are resolved.			

799's - 30 days from receipt from lenders

Decomposition of Sub-Process:	17. Send history to FFEL processing system, 18. Receive/process payment posting information from FFEL System,
	19. Receive/process payment posting information from ED/OCFO.

FFEL Lender and Guaranty Agency Payments Process

Core B	Core Business Process:										
	Scenario Section				iness Pr Section	•	Possible Options				
Failure Source History	Threat/Failure Scenario ED cannot send	Impact/End Result ED would not be able to	Earliest Failure Date	Impact Rating High	Risk Rating Low	ority Priority Rating Med	•	Risk Mitigation Options To mitigate the risk of	High-Level Contingency Options In the event of failure ED would		
Database	history to FFEL processing system ED cannot receive or process payment posting information from FFEL System ED cannot receive or process payment posting information from ED/OCFO	track payments made to lenders					•	failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	process 799 payments manually and would pay only those lenders that submitted forms to ED Alternatively, ED would pay lenders based on historical payment information subject to the following conditions: Only lenders who have submitted forms will be paid The U.S. Treasury would authorize such a payment. That penalty interest may be paid. Those lenders would be required to reconcile when failures are resolved.		

Decomp	osition of Sub-Process	: 20. Receive/proce	ess accoun	ting info	rmation	from FIS/I	MID	DAS	
Core Bu	Core Business Process: FFEL Lender and Guarant				Paymen	ts Process			
Scenario Section			Bus	siness Pr Section	•		Possible Options		
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	usiness Pri Risk Rating	ority Priority Rating		Risk Mitigation Options	High-Level Contingency Options
EDCAPS	ED cannot receive or process accounting information from FIS/MIDAS	ED cannot track accounting information in EDCAPS	1/3/2000	Low	Low	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	None identified

799's - 30 days from receipt from lenders

Decomposition of Sub-Process:	21. Send/receive payment posting information to History Database 22. Receive and process payment information
	from Warehouse Subsystem 23. Certify payments (ACH, checks) for Treasury 24. Receive/process confirmation

reports from Treasury

Core Business Process: FFEL Lender and Guaranty Agency Payments Process

	Scenario Section					iority 1	Possible Options		
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	usiness Pri Risk Rating	Priority Rating		Risk Mitigation Options	High-Level Contingency Options
OCFO	ED cannot send or receive payment posting information to History database ED cannot receive or process payment information from Warehouse Subsystem ED cannot certify payments (ACH, checks) for Treasury ED cannot receive or process confirmation reports from Treasury	ED cannot post payment information in history data base	1/3/2000	Low	Low	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	In the event of a failure ED would use an alternate certification process.

Decomp	osition of Sub-Process	: 25. Make Paymo	ents to Len	ders						
Core B	usiness Process:	FFEL Lender ar	nd Guarant	ty Agency	y Paymei	nts Process	5			
	Scenario Section			Business Priority				Possible Options		
				Section						
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	usiness Pri Risk Rating	ority Priority Rating		Risk Mitigation Options	High-Level Contingency Options	
Treasury	US Treasury cannot make payments in the normal manner	ED would not be able to make payments to lenders	1/3/2000		Undete rmined	High	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized.	None identified.	
							•	In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.		

Decomp	osition of Sub-Process	: 26. Issue Confirm	nation Re	ports						
Core B	usiness Process:	d Guarant	ty Agency	y Paymer	nts Process					
	Scenario Section			Bus	Business Priority			Possible Options		
					Section	1				
Failure	Threat/Failure Scenario	Impact/End Result	Earliest		isiness Pri	-		Risk Mitigation Options	High-Level Contingency Options	
Source			Failure Date	Impact Rating	Risk Rating	Priority Rating				
Treasury	U.S. Treasury cannot issue Confirmation Reports	ED would not be able to confirm payments to lenders or guarantors.	1/3/2000	Low	Undete rmined	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized.	None identified.	
							•	In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.		

Decomp	Decomposition of Sub-Process: 1. Receive 1189 from GA's 2. Receive 1130 from GA										
Core Bu	ısiness Process:	FFEL Lender and	d Guarant	y Agency	Paymen	ts Process					
	Scena	rio Section		Bus	iness Pr	•	Possible Options				
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	isiness Pri Risk			Risk Mitigation Options	High-Level Contingency Options		
Paper 1189 Reports	ED cannot receive 1189 reports from guaranty agencies ED cannot receive 1130 reports from guaranty agencies	ED would not be able to make payments to guaranty agencies.	1/3/2000	High	Undetermined	High	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	In the event of a failure ED would advance funds to the guaranty agency reserve fund based on historical information subject to the following provisions: • That the guaranty agency would perform a reconciliation with ED at a later date • ED would suspend the requirement that a guaranty agency submit an 1189 or 1130 report. • ED would not pay interest in the event of a late payment. In the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fund for Operating fund use subject to the following provisions: • ED would need to obtain a statutory waiver • The guaranty agency would be required to pay reasonable interest on the amount borrowed In the event of a failure, ED would provide relief for reduced minimum reserve levels		

	osition of Sub-Process siness Process: Scena	· ·				1130 information 5. Send AEA calculation 6. Create Create receivable for GA reports 8. Create GA final SOA 9. Possible Options			
Source	Throad Landie Section 10	Impact/End Result	Earliest Failure Date	Impact Rating	Risk Rating	Priority Rating		Risk Mitigation Options	High-Level Contingency Options
GAQ Subsystem, Or GAF Subsystem	 ED cannot create 1130 information in FFELP system ED cannot edit 1130 information ED cannot send AEA calculation to guaranty agencies ED cannot create accounting information for GA transaction listing ED cannot create a receivable for GA reports. ED cannot create GA final statement of account ED cannot create 1189 information ED cannot create 1189 information 	ED would not be able to make payments to GA's or would be unable to track accounting information in EDCAPS	1/3/2000	High	Low	Med	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	In the event of a failure ED would advance funds to the guaranty agency reserve fund based on historical information subject to the following provisions: • That the guaranty agency would perform a reconciliation with ED at a later date • ED would suspend the requirement that a guaranty agency submit an 1189 or 1130 report. • ED would not pay interest in the event of a late payment. In the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fund for Operating fund use subject to the following provisions: • ED would need to obtain a statutory waiver • The guaranty agency would be required to pay reasonable interest on the amount borrowed In the event of a failure, ED would provide relief for reduced minimum reserve levels

Decompo	sition of Sub-Process:	11. Create, send,	, edit repo	rts to GA	's					
Core Bus	siness Process:	d Guarant	y Agency	Paymen	ts Process					
	Scenario Section				Business Priority Section			Possible Options		
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	usiness Pri Risk Rating	Priority		Risk Mitigation Options	High-Level Contingency Options	
GAF Subsystem	ED cannot create and send edit reports to GA's	ED would not be able to notify guaranty agencies regarding their account activity.	1/3/2000	Low	Low	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	In the event of a failure, ED would develop an alternative means of notifying guaranty agencies of their account activity.	

Decomposition of Sub-Process: 12. Receive/process information from DDT 13. Receive and process 1130 AEA report 14. Post information to GA history database 15. Create Payment information for Warehouse subsystem 16. Authorize Payment Approvals 17. Create accounting information for interface Transaction Report 18. Create accounting information for MIDA table 19. Create accounting information for GA MIDAS transaction listing Core Rusiness Process: EFEL Lender and Corenty Agency Payments Process										
Core Business Process: FFEL Lender and Guaranty Agency Payments Process										
	Scena	rio Section		Business Priority	Possible	Options				
				Section						
Failure	Threat/Failure	Impact/End Result	Earliest	Business Priority	Risk Mitigation Options	High-Level Contingency Options				
Source	Scenario		Failure	Impact Risk Priority						
			Date	Rating Rating Rating						

GAF	•	ED cannot	ED would not be able to	1/3/2000	High	Low	Med	•	To mitigate the risk of	In the event of a failure ED
Subsystem		receive or process	make payments to guaranty	1/3/2000	mgm	Low	Wica		failure, ED would establish	would advance funds to the
Buosystem		information from	agencies						earlier cut-off dates	guaranty agency reserve fund
		DDT	ugeneies						(December 1, 1999) to allow	based on historical information
		ED cannot receive							9/30/1999 quarter processing	subject to the following
		and process 1130							and adjustments to be	provisions:
		AEA report							finalized.	• That the guaranty agency
		ED cannot post						•	In addition, ED would create	would perform a
	•	information to						•	payment history back-ups and	reconciliation with ED at a
		GAF history							would postpone adjustment	later date
		database							processing in first quarter	ED would suspend the
		ED cannot create							2000.	requirement that a guaranty
	•	Payment							2000.	agency submit an 1189 or
		information for								1130 report.
		Warehouse								• ED would not pay interest
		subsystem								in the event of a late
		ED cannot								payment.
	•	authorize								In the event of a failure, ED
		Payment								would allow guaranty agencies to
		Approvals								borrow from federal reserve fund
		ED cannot create								for Operating fund use subject to
	•	accounting								the following provisions:
		information for								ED would need to obtain a
		interface								statutory waiver
		Transaction								The guaranty agency would
		Report								be required to pay
		ED cannot create								reasonable interest on the
		accounting								amount borrowed
		information for								In the event of a failure, ED
		MIDAS table								would provide relief for reduced
		ED cannot create								minimum reserve levels
		accounting								
		information for								
		GA MIDAS								
		transaction listing								
	1	transaction fisting								

_	Decomposition of Sub-Process: 20. Receive/process payment data from GAF system Core Business Process: FFEL Lender and Guaranty Agency Payments Process											
	Scenar	rio Section			siness Pr Section	iority	Possible Options					
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	usiness Pri Risk Rating	Priority Rating	Risk Mitigation Options High-Level Contingency Optio					
Warehouse subsystem	ED cannot receive or process payment data from GAF system	ED would not be able to make payments to GA's	1/3/2000	High	Low	Med	 To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000. ED would suspend the requirement that a guarant agency submit an 1189 or 1130 report. ED would not pay interes in the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fund based on historical information subject to the following provisions: That the guaranty agency would perform a reconciliation with ED at later date ED would not pay interes in the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fund based on historical information subject to the following provisions:					

Decompo	Decomposition of Sub-Process: 21. Create/send 712, 713 and 715 reports										
Core Bu	siness Process:	FFEL Lender and	l Guaranty	y Agency	Paymen	ts Process					
	Scenar	rio Section		Bus	Business Priority Section			Possible Options			
Failure Source Warehouse	Threat/Failure Scenario ED cannot create or	Impact/End Result ED would not be able to	Earliest Failure Date 1/3/2000	Impact Rating	Risk Rating	ority Priority Rating Med	•	Risk Mitigation Options To mitigate the risk of	High-Level Contingency Options In the event of a failure ED		
warehouse subsystem	send 712, 713 and 715 reports	ED would not be able to provide activity information to guaranty agencies in the normal manner or in a timely fashion	1/3/2000	High	Low	Med	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	would advance funds to the guaranty agency reserve fund based on historical information subject to the following provisions: That the guaranty agency would perform a reconciliation with ED at a later date ED would suspend the requirement that a guaranty agency submit an 1189 or 1130 report. ED would not pay interest in the event of a late payment. In the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fund for Operating fund use subject to the following provisions: ED would need to obtain a statutory waiver The guaranty agency would be required to pay reasonable interest on the amount borrowed In the event of a failure, ED would provide relief for reduced minimum reserve levels		

	sition of Sub-Process: siness Process: Scenar		m Receive/	process i	informat	ion from F ts Process iority	ment 24. Create Check Payment 25 Send history to FFEL FEL system 26. Receive/process information from FFEL Possible Options		
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	usiness Pri Risk Rating	ority Priority Rating	Risk Mitigation Options High-Level Contingency	Options	
Warehouse subsystem or, History Database	ED cannot create and send 1166 reports ED cannot create ACH payment ED cannot create check Payment ED cannot send history to FFEL Processing System ED cannot receive/process information from FFEL system	ED would not be able to make payments to GA's	1/3/2000	High	Low	Med	 To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000. ED would suspend the requirement that a gagency submit an 11 1130 report. ED would not pay in the event of a failure, would allow guaranty age borrow from federal resert for Operating fund use suthe following provisions: ED would need to obstatutory waiver The guaranty agency submit an 12 1130 report. ED would need to obstatutory waiver The guaranty agency be required to pay reasonable interest of a mount borrowed. In the event of a failure, would provide relief for reminimum reserve levels. 	gency ED at a ne quaranty 189 or interest e ED ncies to rve fund bject to btain a v would on the ED	

_	Decomposition of Sub-Process: 27. Receive/ process payment posting information from ED/OCFO Core Business Process: FFEL Lender and Guaranty Agency Payments Process										
	Scena	rio Section			iness Pr Section	iority	Possible Options				
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	usiness Pri Risk Rating	ority Priority Rating	Risk Mitigation Options High-Level Contingency Option				
History Database	ED cannot receive process payment posting information from ED/OCFO	ED would not be able to track payment information	1/3/2000	Low	Low	Low	 To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000. That the guaranty agency would perform a reconciliation with ED at later date ED would suspend the requirement that a guarant agency submit an 1189 or 1130 report. ED would not pay interes in the event of a failure, ED would allow guaranty agencies to borrow from federal reserve fun for Operating fund use subject to the following provisions: ED would need to obtain a statutory waiver The guaranty agency would be required to pay reasonable interest on the amount borrowed In the event of a failure, ED would provide relief for reduced minimum reserve levels 				

Decomp	Decomposition of Sub-Process: 28. Receive/process accounting information from FIS/MIDAS										
Core Bu	isiness Process:	FFEL Lender an	d Guarant	ty Agency	y Paymer	nts Process					
	Scenario Section					iority	Possible Options				
				Section							
Failure	Threat/Failure Scenario	Impact/End Result	Earliest	Business Priority		ority	Risk Mitigation Options	High-Level Contingency Options			
Source			Failure	Impact	Impact Risk Priority						
			Date	Rating	Rating	Rating					
EDCAPS	ED cannot receive/process accounting information from	ED would not be able to track accounting information for EDCAPS	1/3/2000	Low	Low	Low	None identified yet	None identified yet			
	FIS/MIDAS										

1189's and 1130's - 60 days from receipt of 1189 and 180 days from receipt of 1130

Decomposition of Sub-Process:	29. Receive and process payment information from Warehouse Subsystem 30. Send/receive payment posting
	information to History Database 31. Certify payments (ACH, checks) for Treasury 32. Receive/process
	confirmation reports from Treasury

Core Business Process: FFEL Lender and Guaranty Agency Payments Process

	FFEL Lender and Guaranty Agency Payments Process													
Scenario Section					Business Priority Section			Possible Options						
Failure	Threat/Failure	Impact/End Result	Earliest	Bus	Business Priority		Risk Mitigation Options	High-Level Contingency						
Source	Scenario		Failure	Impact	Risk	Priority			Options					
			Date	Rating	Rating	Rating								
OCFO	ED cannot receive and process payment information from Warehouse Subsystem ED cannot Receive and process payment information from Warehouse Subsystem ED cannot send/receive payment posting information to History Database ED cannot certify payments (ACH, checks) for Treasury ED cannot receive/process confirmation reports from Treasury	ED would not be able to track payment history	1/3/2000	Low	Low	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	In the event of a failure ED would use an alternative certification process.					

Decomp	osition of Sub-Process	nts to GA	\s							
Core B	ısiness Process:	nd Guarant	y Agency	Paymen	ts Process					
	Scenario Section			Bus	Business Priority			Possible Options		
					Section	n				
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	usiness Pri Risk Rating	Priority		Risk Mitigation Options	High-Level Contingency Options	
Treasury	Treasury cannot make payments to guaranty agencies	ED would not be able to make payments to GA's	1/3/2000	High	Low	Med	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create	None identified yet	
							•	payment history back-ups and would postpone adjustment processing in first quarter 2000.		

Decomp	osition of Sub-Process	ports to	Treasury	7						
Core B	Core Business Process: FFEL Lender and Guaranty				Paymen	ts Process				
	Scenario Section			Bus	Business Priority			Possible Options		
	Т				Section					
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Bu Impact Rating	isiness Pri Risk Rating	ority Priority Rating		Risk Mitigation Options	High-Level Contingency Options	
Treasury	ED cannot issue confirmation reports to Treasury	ED would not be able to confirm payments	1/3/2000	Low	Low	Low	•	To mitigate the risk of failure, ED would establish earlier cut-off dates (December 1, 1999) to allow 9/30/1999 quarter processing and adjustments to be finalized. In addition, ED would create payment history back-ups and would postpone adjustment processing in first quarter 2000.	None identified yet	

Core Business Process IV- Guarantor and Lender Payments Process Lender Claims Sub-Process Minimum Acceptable Level of Service:

Lender Claims – 120 days from discovery

Decomposition of Sub-Process: 1. Submit electronic claims for payment										
Core Business Process: FFEL Lender and Guaranty Agency Payments Process										
Scenario Section					iness Pri	iority	Possible Options			
				Section						
Failure	Threat/Failure Scenario	Impact/End Result	Earliest	Business Priority		ority	Risk Mitigation Options	High-Level Contingency Options		
Source			Failure	Impact	Risk	Priority				
			Date	Rating	Rating	Rating				
Lender	Lenders cannot submit	ED would not be able to	1/3/2000	High	Undete	High	To mitigate the risk that lenders	In the event of a failure ED		
Systems	claims	make payments to lenders			rmined		would not be able to submit claims	would use a manual process to		
							to ED for payment, ED would	pay lender claims.		
							encourage lenders to submit claims			
							earlier, preferably before January 1,			
							2000			

Core Business Process IV- Guarantor and Lender Payments Process Lender Claims Sub-Process

Minimum Acceptable Level of Service:

Lender Claims – 120 days from discovery

Decomposition of Sub-Process: 2. Review claims for payment										
Core Business Process: FFEL Lender and Guaranty Agency Payments Process										
Scenario Section				Business Priority			Possible Options			
				Section						
Failure	Threat/Failure Scenario	Impact/End Result	Earliest	Ві	Business Priority		Risk Mitigation Options	High-Level Contingency Options		
Source			Failure	Impact	Risk	Priority				
			Date	Rating	Rating	Rating				
GA systems	GA cannot review	A lender would not be able	1/3/2000	High	Undete	High	To mitigate the risk that guaranty	In the event of a failure, the		
	claims	to receive payments from a			rmined		agencies would not be able to	guaranty agency would use a		
		guaranty agency					review and process lender payment	manual process to pay lender		
							claims ED would encourage lenders	claims.		
							to submit claims to guaranty			
							agencies earlier, preferably before			
							January 1, 2000			

Core Business Process IV- Guarantor and Lender Payments Process Lender Claims Sub-Process Minimum Apparents Level of Countries

Minimum Acceptable Level of Service:

Lender Claims – 120 days from discovery

Decomposition of Sub-Process: 3. GA makes payment to lender											
Core Bus	Core Business Process: FFEL Lender and Guaranty Agency Payments Process										
	Scenario Section				siness Prio Section	ority	Possible Options				
Failure Source	Threat/Failure Scenario	Impact/End Result	Earliest Failure Date	Impact Rating	Rating	Priority Rating	Risk Mitigation Options	High-Level Contingency Options			
GA Systems	A guaranty agency cannot make payments to lenders	Lender would not be able to receive payments from guaranty agencies for claims filed	1/3/2000	High	Undet ermine d	High	To mitigate the risk that guaranty agencies would not be able make payment to lenders ED would encourage lenders to submit claims to guaranty agencies earlier, preferably before January 1, 2000	In the event of a failure, ED would provide payments directly to lenders. This would require: GA's to perform the following activities: The GA must approve or certify claim payment The GA would repay funds plus interest to ED as an adjustment on next 1189/1130 process This would require ED to perform the following activities: ED would use the interest benefit payment process ED would seek statutory relief required-currently no authority			